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# UTILITY PATENT APPLICATION TRANSMITTAL

(For new Non-provisional applications under 37 CFR 1.53(b))

Attorney Docket No.: PRE2519P0011US  
 First Named Inventor: James D. Hempleman  
 Express Mail Label No. EL 733 165 664 US

Box PATENT APPLICATION  
 Hon. Commissioner For Patents  
 Washington, D.C. 20231

Sir:

Transmitted herewith for filing is a new utility patent application of inventor(s): **James D. Hempleman, Sandra M. Hempleman, Neil A. Schneider** and entitled: **List Building System.**

## Application Elements:

1. ☒ Specification containing 18 pages (preferred arrangement set forth below)
  - Descriptive Title of the Invention
  - Cross-Reference to Related Applications (if applicable)
  - Statement Regarding Federally-Sponsored Research or Development (if applicable)
  - Reference to Microfiche Appendix (if applicable)
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
2. ☒ Drawings: 32 Sheets of ☒ formal drawings ☐ informal drawings
3. ☒ Oath or Declaration
  - a. ☐ An executed declaration or oath for the utility patent application including a power of attorney,
  - b. ☐ An unexecuted declaration or oath for the utility patent application including a power of attorney;
  - c. ☒ Copy from a prior application (37 CFR 1.63(d), for continuation/divisional with No. 17 completed. [Note No. 4 below.])
    - i. ☐ Signed statement attached deleting inventor(s) named in the prior application (see 37 CFR 1.63(d)(2) and 1.33(b).
4. ☒ **For CONTINUATION or DIVISIONAL Applications only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 3c, is considered as being part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

5. ☐ Microfiche Computer Program (Appendix)
6. ☐ Nucleotide and/or Amino Acid Sequence submission. including:
- ☐ Computer readable copy,
  - ☐ Paper copy (identical to computer copy),
  - ☐ Statement verifying identity of above copies.

**Accompanying Application Parts:**

7. ☐ Assignment Papers (cover sheet, document(s) and requisite fee).
8. ☐ 37 CFR 3.73(b) Statement (where there is an assignee)
- ☐ Power of Attorney
9. ☐ English Translation document (if applicable)
10. ☐ Information Disclosure Statement (IDS), including PTO-1449
- ☐ Copies of IDS Citations
11. ☒ Preliminary Amendment
12. ☒ Return Postcard for PTO Mail Room Date Stamp (should be specifically itemized).
13. ☒ Applicant claims small entity status (See 37 CFR 1.27.)
- ☐ A Statement Claiming Small Entity Status is enclosed.
14. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed).
15. ☒ Request and Certification For Nonpublication Under 35 U.S.C. 122(b)(2)(B)(i).
16. ☐ Other \_\_\_\_\_
17. ☒ **If Continuing Application**, check appropriate box and supply the requisite information below and in a preliminary amendment:
- ☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. 08/859,995, filed May 21, 1997.
- Prior application information: Examiner: A. Kindred Group/Art Unit: 2172

**DO NOT ABANDON THE PARENT APPLICATION.**

**Fee Calculation**

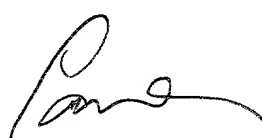
The filing fee has been calculated as shown below:

Small Entity						Large Entity	
For	No. Filed	No. Allowed	No. Extra	Rate	Fee	Rate	Fee
Basic Fee					\$355.00		\$710.00
Total Claims	29	- 20 =	9	x \$9.00	\$81.00	x \$18.00	\$
Indep. Claims	4	- 3 =	1	x \$40.00	\$40.00	x \$80.00	\$
Multiple Dependent Claims Present				+ \$135.00	\$	+ \$270.00	\$
TOTAL					\$476.00	TOTAL	\$

18. ☒ A check in the amount of \$476.00 to cover the filing fee is enclosed.
19. ☐ Please charge my Deposit Account No. 04-1644 in the amount of \$\_\_\_\_\_.
20. ☒ The Commissioner is authorized to charge payment of the following amounts associated with this communication or credit any overpayment to Deposit Account No. 04-1644:
- ☒ Additional filing fees under 37 CFR 1.16 or deficiencies in remittances therefor.
  - ☒ Additional processing fees under 37 CFR 1.17 or deficiencies in remittances therefor.
  - ☒ **ONLY if applicant has partially paid** the patent issue fee under 37 C.F.R. §1.18, then the **deficiency** shall be charged to Deposit Account No. 04-1644, and the Commissioner is authorized to so charge the Deposit Account.

Date: January <sup>26</sup>, 2001  
↑

Attorney's Signature

  
Paul M. Vargo, Reg. No. 29,116

Correspondence Address:

ROCKEY, MILNAMOW & KATZ, LTD.  
Two Prudential Plaza  
180 North Stetson Avenue, Suite 4700  
Chicago, Illinois 60601  
Telephone: (312) 616-5400  
Facsimile: (312) 616-5460

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

I hereby certify that this Utility Patent Application Transmittal, enclosed application, and any other documents referred to as enclosed herein, are being deposited in an envelope with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated below and addressed to Box PATENT APPLICATION, Commissioner for Patents, Washington, D.C. 20231.

Express Mail Label No.: EL 733 165 664 US

Date of Deposit: January 26, 2001

Typed/Printed Name of Person Signing: Rowena K. Lieber

Signature:

**CERTIFICATE OF MAILING BY EXPRESS MAIL**

**"Express Mail" Mailing Label Number EL 733 165 664 US**

**Date of Deposit:** January 26, 2001

I hereby certify that this correspondence is being deposited with the United States Postal "Express Mail Post Office to Addressee" service under 37 CFR

1.10(c) on the date indicated above and is addressed to:

**Box PATENT APPLICATION  
Hon. Commissioner for Patents  
Washington, D.C. 20231**

**Case Number:** PRE2519P0011US

**Serial No.** None

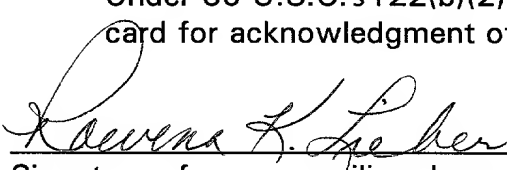
**Filing Date:** January 26, 2001

**Inventors:** James D. Hempleman, Sandra M. Hempleman, Neil A. Schneider

**For:** "List Building System"

**Enclosed are the following documents:**

Certificate of Mailing by Express Mail; Utility Patent Application Transmittal (3 pages), in duplicate, with Check No. 39991 for \$476.00 attached; and the application consisting of 14 pages of specification; 3 pages of claims comprising 29 claims; 1 page of the Abstract of the Disclosure; 32 sheets of formal drawings; a copy of an executed Declaration and Power of Attorney consisting of 1 page; a Request and Certification Under 35 U.S.C. §122(b)(2)(B)(i); Preliminary Amendment and a prepaid post card for acknowledgment of receipt by the mail room of the USPTO.

  
\_\_\_\_\_  
Signature of person mailing documents

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB number.

**REQUEST AND CERTIFICATION  
UNDER  
35 U.S.C. §122(b)(2)(B)(i)**

First Named Inventor:

James D. Hempleman

Title: List Building System

Atty. Docket No.

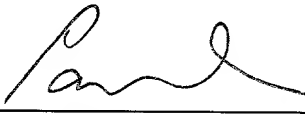
PRE2519P0011US

Hon. Commissioner For Patents  
Washington, D.C. 20231

Sir:

I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of any application filed in another country, or under a multilateral agreement, that requires publication at eighteen (18) months after filing. I hereby request that the attached application not be published under 35 U.S.C. §122(b). This Request has been executed in compliance with 37 C.F.R. §1.33(b).

Respectfully submitted,

By 

Paul M. Vargo, Reg. No. 29,116

ROCKEY, MILNAMOW & KATZ, LTD.  
Two Prudential Plaza  
180 North Stetson Avenue, Suite 4700  
Chicago, Illinois 60601  
312/616-5400  
January 26, 2001

This request must be signed in compliance with 37 C.F.R. §1.33(b) and submitted with the application **upon filing**.

Applicant may rescind this non-publication request at any time. If applicant rescinds a request that an application not be published under 35 U.S.C. §122(b), the application will be scheduled for publication at eighteen (18) months from the earliest claimed filing date for which a benefit is claimed.

If applicant subsequently files an application directed to the invention disclosed in the attached application in another country, or under a multilateral international agreement, that requires publication of applications eighteen (18) months after filing, the application **must** notify the United States Patent and Trademark Office of such filing within forty-five (45) days after the date of the filing of such foreign or international application. **Failure to do so will result in abandonment of this application (35 U.S.C. §122(b)(2)(B)(iii)).**